TRANSMITTAL SLIP	DATE 23 . 1982

TO: EO/DDA

ROOM NO.	BUILDING
7D24	HQs

REMARKS:

26

A/DDA → F

DDA

JUL 1982

FROM: IHSA/DDA

ROOM NO.	BUILDING	EXTENSION
6D5317	Hqs	

FORM NO. 241
1 FEB 55

REPLACES FORM 36-8
WHICH MAY BE USED.

STAT

82-0319/6

IHSA-82-033

DDA REGISTRY

FILE: SB 1-2

2 3 JUL 1982

MEMORANDUM FOR: [blank]   STAT

Chief, Regulations Control Division

FROM: [blank]   STAT

Information Handling Systems Architect

SUBJECT: [blank] Policy and Procedures for   STAT
Management for Informantion Handling
Systems

1. [blank] is a prototype of an oversight management system   STAT
for IHS projects in the Agency. We anticipate bringing the
manpower on board in the IHSA to begin implementation of it in FY
83.

2. After some experience with the oversight management
process based on [blank] for IHSs, it is the intention of this   STAT
office to write an [blank] We believe this experience with the   STAT
interaction of standard oversight management procedures with
specific Agency environments is essential to structuring an
effective program.

3. It is requested that [blank] be extended for one year.   STAT
This will give us time to gain experience with an oversight
management process in the Agency and begin to draft the
derivative [blank]   STAT

                                                                                 STAT

cc: DDA

ROUTING AND RECORD SHEET

SUBJECT (Optional)
Proposed [ ] Policy and Procedures for Management of Information Handling Systems (Job #9710)

STAT

	EXTENSION	NO.	DD/A Registry
Chief, Regulations Control Division 1105 Ames Bldg.		DATE 31 MAR 1982	82-03195

STAT
STAT

TO: (Officer designation, room number, and building)	DATE		OFFICER'S INITIALS	COMMENTS (Number each comment to show from whom to whom. Draw a line across column after each comment.)
	RECEIVED	FORWARDED		
1. EO/DDA		6/4		In accordance with your 26 March 1982 request, forwarded herewith is [ ] for DDA approval to publish.
2. C/RCD				
3.				
4.				
5.				
6.				
7. RCD 1105 Ames Bldg.				
8.				
9.				
10.				
11.				
12.				
13.				
14.				
15.				

STAT
STAT

Bill: For the last time I hope, please make the following changes to the attached:
a. page 3: should be 15 percent vice 10 percent
b. page 3. (2) should be Program Development Plan vice Program acquisition plan,
c. page 4: (4) should be System Design Concept and (5) System Requirements specification
- and renumber subparagraphs as indicated on page 4.

Thanks.

STAT

DD/A REGISTRY FILE: 31-2

FORM 610 USE PREVIOUS EDITIONS
1-79

MANAGEMENT

POLICY AND PROCEDURES FOR MANAGEMENT
OF INFORMATION HANDLING SYSTEMS

No Field Counterpart to this HN

1. PURPOSE

This notice sets forth Agency policy regarding management responsibilities for the acquisition of new or enhanced information handling systems capabilities.

2. APPLICABILITY AND SCOPE

These provisions for information handling systems apply to automated or other clearly identifiable processes used for creation, movement, use, storage, retrieval, or dissemination of intelligence and management information. Included are: computer hardware and software systems, communications systems, office systems, and terminal systems. Applicability of policy provisions is determined by class designation (Class I, II, or III), which is based on system cost. Provisions are most applicable to the larger Class I systems.

3. POLICY

a. GENERAL

Information handling systems acquisitions will be reviewed and approved at decision milestones by appropriate management levels. Systems of extraordinary cost, risk, or interest will be reviewed by the Executive Committee (EXCOM), the Information Handling Systems Architect (IHSA), and the Program Management Component who will support the EXCOM review process. Information handling systems falling below the EXCOM review threshold, but nevertheless important in the context of the Agency Information Systems Architecture and Planning, may be reviewed by the IHSA at decision milestones.

b. SPECIFIC

For purposes of management and coordination, there are three classes of information handling systems, determined by investment cost thresholds. Class I systems will comply with the procedures, standards, and documentation requirements for major programs. Class II and III systems will comply with the procedures, standards, and documentation requirements for minor programs.

(1) Class I information handling systems will be reviewed and approved at decision milestones by the EXCOM. Any information handling system, or any significant revision of an existing system, meeting any one of the following criteria will be designated a Class I information handling system:

   (a) Has anticipated acquisition costs in excess of $10 million during the span from program initiation to the time the system becomes operational.

   (b) Has estimated costs in excess of $3 million in any year.

   (c) Is designated as being of special interest or considered to have Agency-wide or Community importance. Nominations to the EXCOM can be made by any of the EXCOM principals or the IHSA.

(2) Class II information handling systems will be reviewed and approved at decision milestones by the Deputy Director responsible for the system. Any information handling system, or any significant revision of an existing system, meeting any of the following criteria will be designated a Class II information handling system:

   (a) Has anticipated acquisition costs in excess of $1.5 million during the span from program initiation to the time the system becomes operational.

   (b) Has estimated acquisition costs in excess of $500,000 in any year.

   (c) Is designated as being of special interest.

(3) Class III information handling systems will be reviewed and approved as the responsible Deputy Director may direct. In general, it is anticipated that the Deputy Director shall delegate that authority to the next lower level of management. Any information handling system or any significant revision of a system which is in cost or importance less than Class II is a Class III information handling system.

c. MILESTONE DECISIONS

Three milestone decisions are defined for acquisition of major information handling systems.

   °Milestone 0 Decision -- Approval of Mission Need Statement (MNS), approval of the budget and schedule, and authorization to proceed to the next program phase. The MNS will define

2

the need for the system, and will be accompanied by Preliminary System Requirements, acquisition strategy, schedule goals, and the total and annual investment of resources estimated. The next program phase for a simple package (no program development investment; e.g., a computer with standard support software) is the actual procurement, or for a complex system development, the next phase is the Concept Development Phase.

°Milestone 1 Decision -- Approval of the System Design Concept (SDC), System Requirements (SR), and Program Development Plan (PDP); and authorization to proceed with the next program phase. For large complex systems, alternate concepts are to be explored and evaluated before settling on a chosen concept; the reasons for a particular selection are to be presented. Documentation at this stage will include baseline SR, SDC, and a PDP. System requirements will be coordinated and presented by the IHSA. Cost and schedule goals are reassessed. Equipment acquisition plans are presented for approval. Acquisition of production status and commercial hardware will normally be executed pursuant to this approval or direction. Approved programs then proceed to the Preliminary Design Phase.

°Milestone 2 Decision -- Approval of the Preliminary Design and Revised Program Development. All acquisition programs, however phased, will have a single Preliminary Design Review (PDR) covering the entire program. This review is coordinated with the program's internal PDR so that issues arising as a result of the PDR process can be evaluated. At this milestone the program cost, functionality, and schedule objectives, as defined and determined at the PDR, are reassessed. Approved programs then proceed to full-scale development.

At each decision milestone, guidance and direction to the program are documented.

At any point at which a major program deviation in cost or schedule goals of more than 10 percent is estimated, the IHSA will be notified.

4.   PROCEDURES

a.   The IHSA shall receive all documentation relevant to systems development for Class I information handling systems. Included are such documents as:

   (1) Functional requirements.

   (2) Program development plan.

3

ADMINISTRATIVE - INTERNAL USE ONLY

(3) Feasibility, analyses, and tradeoff studies.

(4) *System Requirements*

(4) System specification.

6 (5) Management plan.

7 (6) System functional specifications.

8 (7) Interface control specifications.

9 (8) System detailed design specifications.

10 (9) System test and validation plan.

11 (10) Periodic progress reports.

At least six months prior to Milestone 1 or 2 review of Class I
and II information handling systems, the program sponsor will
notify the IHSA. For Class I information handling systems, the
IHSA shall coordinate and schedule an EXCOM review.

b.   The IHSA shall appoint a member of the staff to coordinate with
the program office concerning preparation for the milestone
review. The program office will brief the IHSA office with respect
to the program status for Class I systems. Questions which
the office of the IHSA has with the project will be addressed to
the project management. The intent is to resolve all the questions
that pertain to such matters as the project formulation, completeness
of planning and design, interoperability, conformity with standards,
and supportability prior to the milestone review.

Prior to the milestone review, the IHSA shall prepare brief point
papers covering any points of concern or disagreement relative to
the information system's development. The project management will
then brief the EXCOM on the system at the milestone review. The
IHSA then shall prepare a decision coordinating paper documenting
the EXCOM guidance and direction to the project.

c.   For Class II systems, if the IHSA feels that there are significant
architectural concerns, he may join the milestone review.

5.   IHSA RESPONSIBILITIES

The Information Handling Systems review process complements the budgeting
process. Information handling systems decisions must fit into the
affordability framework of the budget, and further, must fit into the

4

ADMINISTRATIVE - INTERNAL USE ONLY

STAT

MANAGEMENT

Agency architecture and planning framework for information handling systems. The IHSA shall:

a. Formulate overall architecture tenets for information handling systems.

b. In conjunction with prospective users, conduct formal reviews of proposed information handling systems to:

   (1) Determine compliance with architecture tenets.

   (2) Validate functional requirements.

   (3) Validate system concept.

   (4) Ensure that relevant interfaces are considered.

   (5) Validate information security of proposed design.

c. Advise on relative priorities of information handling systems.

d. Focus the issues for EXCOM reviews.

e. Make an annual report to the EXCOM on the status of information handling systems in the Agency and advise EXCOM on information handling systems decisions.

f. Be designated the individual for the Agency to assure that architecture is either in compliance with Government-wide standards and procedures or that variations have senior management approval. Included is assuring Agency compliance with Federal Information Processing Standards and granting waivers to these in accordance with delegated authorities and specified procedures.

Harry E. Fitzwater
Deputy Director
for
Administration

STAT

RCD/_____ (31 Mar 82)
Distribution:
  Orig - RCD
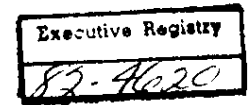   1 - DDA Signature
     1 - DDA Chrono

DISTRIBUTION: AB

5

ROUTING AND RECORD SHEET

SUBJECT: (Optional)

Proposed

DDA Registry
82- 0319/4 STAT

FROM

STAT

EO/DDA
7D-18 Hqs.

EXTENSION	NO.		STAT
	DATE 2 6 MAR 1982		STAT

TO: (Officer designation, room number, and building)	DATE		OFFICER'S INITIALS	COMMENTS (Number each comment to show from whom to whom. Draw a line across column after each comment.)
	RECEIVED	FORWARDED		
1. Chief, RCD 1105 Ames Bldg.				1 - Please prepare the attached Headquarters Notice for publication. Mr. McMahon has approved it for publication without further coordination.
2.				
3.				
4.				STAT
5.				
6.				EO/DDA/ ba(26Mar82) STAT Distribution:
7.				0 - C/RCD w/att
8.				1 - DDA Subject w/att 1 - EO Chrono w/o att
9.				
10.				
11.				
12.				
13.				
14.				
15.				

FORM 610 USE PREVIOUS EDITIONS
1-79

ROUTING AND RECORD SHEET

STAT

SUBJECT: (Optional)

Proposed ☐ Policy and Procedures for Management of Information Handling Systems

FROM:

Harry E. Fitzwater
Deputy Director for Administration

EXTENSION	NO. DDA 82-0319/3 ER 82-4620
	DATE 25 March 1982

STAT

STAT

TO: (Officer designation, room number, and building)	DATE		OFFICER'S INITIALS	COMMENTS (Number each comment to show from whom to whom. Draw a line across column after each comment.)
	RECEIVED	FORWARDED		
1. Executive Director				DD/A REGISTRY FILE 38
2.				
3. Deputy Director for Administration				
4.				
5.				
6.				
7.				
8.				
9.				
10.				
11.				Distribution: Original - Addressee (Return to RCD/OIS) w/att
12.				1 - ER w/att 1 - IHSA w/att 1 - DDA Subject w/att 1 - DDA Chrono w/att
13.				At☐ Policy and Procedures for Management of Information Handling Systems (Revised)
14.				
15.				

STAT

DDA 82-0319/3

15 March 1982

MEMORANDUM FOR: Executive Director

FROM: Harry E. Fitzwater
                 Deputy Director for Administration

SUBJECT: Proposed [   ] Policy and Procedures for Management   STAT
                 of Information Handling Systems

1. The attached proposed notice was approved for publication by the
DDCI at the 24 July 1981 Executive Committee meeting. It was not published
at that time because of the lack of personnel resources in the Information
Handling Systems Architect's (IHSA) staff to fully implement the notice.
This problem is still with us since his staff has not been enlarged to the
degree necessary to develop the Strategic Plan and also fully carry out the
charges contained in the attached. When the Plan is completed, personnel
resources will be shifted to assist in the implementation of the notice.
However, because of the controversial nature of the notice, I think we would
be wise to publish [   ] now even though it will be difficult to implement   STAT
at this time. Because of "turf," there will always be objections to the notice,
the Strategic Plan, and the concept of an Information Handling Systems Architect.
We need to resolve these issues and this is one we can set aside by publishing
the notice now.

2. When the notice was initially circulated for comment in September 1981,
the only concern raised was by C/IMS/DO who suggested that the notice might be
premature for issuance at this time. Recently when the notice was about to be
published the following comments were offered:

  a. The C/IMS/DO does not concur--believes the notice will
      confuse management responsibilities and unreasonably
      increase administrative overhead.

  b. Procedures and documentation requirements incur too
      much overhead, particularly for smaller systems (DO,
      DS&T, and ODP).

  c. Threshold limits for system classification should be
      raised (DO, DS&T, and ODP).

  d. Exclusions were requested for hardware systems, research
      systems, and embedded systems (DS&T and ODP).

3. I believe there is justification for raising the threshold limits; that to a degree will also alleviate some of the other concerns. With your approval, I will have the notice published with the following limits:

Class I (a) Acquisition costs in excess of $10 million from program initiation to operation (changed from $8 million).

(b) Costs in excess of $3 million in any year (changed from $2 million).

Class II (a) Acquisition costs in excess of $1.5 million from program initiation to operation (changed from $1.0 million).

(b) Costs in excess of $500,000 in any year (changed from $250,000).

4. In accordance with the decision made at the Executive Committee meeting on 24 July 1981, I request your approval to publish the notice now without further coordination and also ask your approval to raise the threshold limits as proposed in paragraph 3 above.

Harry E. Fitzwater

Harry E. Fitzwater

Attachment

APPROVED:

/S/ John N. McMahon for   2 5 MAR 1982
_____   _____
Executive Director   Date

Distribution:
   Orig - EXDIR (for return to DDA)
     1 - ER
     1 - IHSA
     1 - DDA Subj
     1 - DDA Chrono
     1 - HEF Chrono
IHSA:Rewritten:
DDA:HEFitzwater:kmg (15 Mar 82)

2

MANAGEMENT

STAT

POLICY AND PROCEDURES FOR MANAGEMENT
OF INFORMATION HANDLING SYSTEMS

No Field Counterpart to this HN

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2

STAT

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(1) Functional requirements.

(2) Program acquisition plan.

3

ADMINISTRATIVE - INTERNAL USE ONLY

MANAGEMENT   STAT

(3) Feasibility, analyses, and tradeoff studies.

(4) System specification.

(5) Management plan.

(6) System functional specifications.

(7) Interface control specifications.

(8) System detailed design specifications.

(9) System test and validation plan.

(10) Periodic progress reports.

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and II information handling systems, the program sponsor will
notify the IHSA. For Class I information handling systems, the
IHSA shall coordinate and schedule an EXCOM review.

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the program office concerning preparation for the milestone
review. The program office will brief the IHSA office with respect
to the program status for Class I systems. Questions which
the office of the IHSA has with the project will be addressed to
the project management. The intent is to resolve all the questions
that pertain to such matters as the project formulation, completeness
of planning and design, interoperability, conformity with standards,
and supportability prior to the milestone review.

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papers covering any points of concern or disagreement relative to
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then brief the EXCOM on the system at the milestone review. The
IHSA then shall prepare a decision coordinating paper documenting
the EXCOM guidance and direction to the project.

c. For Class II systems, if the IHSA feels that there are significant
architectural concerns, he may join the milestone review.

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process. Information handling systems decisions must fit into the
affordability framework of the budget, and further, must fit into the

4

Agency architecture and planning framework for information handling systems. THE IHSA shall:

a. Formulate overall architecture tenets for information handling systems.

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    (2) Validate functional requirements.

    (3) Validate system concept.

    (4) Ensure that relevant interfaces are considered.

    (5) Validate information security of proposed design.

c. Advise on relative priorities of information handling systems.

d. Focus the issues for EXCOM reviews.

e. Make an annual report to the EXCOM on the status of information handling systems in the Agency and advise EXCOM on information handling systems decisions.

f. Be designated the individual for the Agency to assure that architecture is either in compliance with Government-wide standards and procedures or that variations have senior management approval. Included is assuring Agency compliance with Federal Information Processing Standards and granting waivers to these in accordance with delegated authorities and specified procedures.

                                        Harry E. Fitzwater
                                        Deputy Director
                                          for
                                        Administration

DISTRIBUTION: AB

ADMINISTRATIVE - INTERNAL USE ONLY

ROUTING AND TRANSMITTAL SLIP

Date 24 March 1982

TO: (Name, office symbol, room number, building, Agency/Post)	Initials	Date
1. ADDA		
2.		
3.		
4.		
5.		

Action	File	Note and Return
Approval	For Clearance	Per Conversation
As Requested	For Correction	Prepare Reply
Circulate	For Your Information	See Me
Comment	Investigate	Signature
Coordination	Justify	

REMARKS

1. Inserted is a proposed revision.

2. Spoke with [   ] and the feeling I got was that words like "terminals" and "word processors" in paragraph 2 suggested involvement at too low a level – hence the proposed revision.

STAT

DO NOT use this form as a RECORD of approvals, concurrences, disposals, clearances, and similar actions

FROM: (Name, org. symbol, Agency/Post)	Room No.—Bldg. 6D5317 Hqs.
[ ] DDA/IHSA	Phone No.

5041-102

★ GPO : 1980 O – 311-156 (17)

OPTIONAL FORM 41 (Rev. 7–76)
Prescribed by GSA
FPMR (41 CFR) 101-11.206

STAT
STAT

TRANSMITTAL SLIP	DATE 23 March 82

TO: IHSA Attn:

ROOM NO.	BUILDING

REMARKS:

   Glenn,

      Please call me when you
receive this.

              Bill

FROM: ADDA

ROOM NO. 7 D 24	BUILDING Hqs	EXTENSION

FORM NO. 241
1 FEB 55

REPLACES FORM 36-8
WHICH MAY BE USED.

(47)

STAT

STAT

Page Denied

Next 5 Page(s) In Document Denied

ROUTING AND TRANSMITTAL SLIP

Date

15 March 1982

TO: (Name, office symbol, room number, building, Agency/Post)	Initials	Date
1. EO/DDA	_Mu_	15 MAR 1982
2. ADDA	_H_	3-15
3. DDA	_H_	
4.		
5.		

Action		File		Note and Return
Approval		For Clearance		Per Conversation
As Requested		For Correction		Prepare Reply
Circulate		For Your Information		See Me
Comment		Investigate		Signature
Coordination		Justify		

REMARKS

DO NOT use this form as a RECORD of approvals, concurrences, disposals, clearances, and similar actions

FROM: (Name, org. symbol, Agency/Post)	Room No.—Bldg.
	Phone No.

5041-102

OPTIONAL FORM 41 (Rev. 7-76)
Prescribed by GSA
FPMR (41 CFR) 101-11.206

ROUTING AND TRANSMITTAL SLIP

Date 3-12-82

TO: (Name, office symbol, room number, building, Agency/Post)	Initials	Date
1. *EO/DDA*	*a*	12 MAR 1982
2. *ADDA*	*H*	3-12
3. *B.A. - pls type.*		
4.		
5.		

Action	File	Note and Return
Approval	For Clearance	Per Conversation
As Requested	For Correction	Prepare Reply
Circulate	For Your Information	See Me
Comment	Investigate	Signature
Coordination	Justify	

REMARKS

Bill / John,

I rewrote [ ] paper since he didn't really address the problem, please modify as you see fit.

MAR 1982

DO NOT use this form as a Rl[   ]ces, disposals,
clearanc[

FROM: (Name, org. symbol, Agency/Post)	Room No.—Bldg.
	Phone No.

5041-102

OPTIONAL FORM 41 (Rev. 7-76)
Prescribed by GSA
FPMR (41 CFR) 101-11.206

☆ GPO : 1980 O - 311-156 (17)

STAT

STAT

Next 1 Page(s) In Document Denied

MEMORANDUM FOR: Executive Director

FROM: Harry E. Fitzwater
                 Deputy Director for Administration

SUBJECT: [   ] Policy and Procedures for Management   STAT
                 of Information Handling Systems

1. The subject notice was distributed to the Directorates for review recently. The substance of the comments are as follows:

   a. The DO does not concur - believes the notice will confuse management responsibilities and unreasonably increase administrative overhead.

   b. Procedures and documentation requirements incur too much overhead, particularly for smaller systems (DO, ODP and DS&T).

   c. Threshold limits for system classification should be raised (DO, ODP and DS&T).

   d. Exclusions were requested for hardware systems, research systems, and embedded systems (ODP and DS&T).

2. I think there is justification for raising the threshold limits; that to a degree will also alleviate some of the other concerns. With your concurrence I will have the notice published with the following limits:

   Class I   (a) Acquisition costs in excess of $10 million from program initiation to operation (changed from $8 million).

             (b) Costs in excess of $3 million in any year (changed from $2 million).

Class II (a) Acquisition costs in excess of $1.5 million from program initiation to operation (changed from $1.0 million).

(b) Costs in excess of $500,000 in any year (changed from $250,000).

Harry E. Fitzwater

CONCUR:

_____   _____
Executive Director   Date

ROUTING AND TRANSMITTAL SLIP

Date

TO: (Name, office symbol, room number, building, Agency/Post)		Initials	Date
1. DD/DDA		OW	25 FEB 1982
2. A/DDA — FYI		H	3-1
3. DDA	↑	A	MAR 1982
4. ED		A	1 MAR 1982
5. Registry			

Action	✓	File		Note and Return	
Approval		For Clearance		Per Conversation	
As Requested		For Correction		Prepare Reply	
Circulate		For-Your Information		See Me	
Comment		Investigate		Signature	
Coordination		Justify			

REMARKS

1-2/3: More comments on ☐ STAT
some seem quite negotiable,
a few will have to be hushed up
to you eventually for resolution.

STAT

DO NOT use this form as a RECORD of approvals, concurrences, disposals, clearances, and similar actions

FROM: (Name, org. symbol, Agency/Post)	Room No.—Bldg.
ED	
	Phone No.

ᏞᏁ 82-22/

2 8 FEB 1982

DD/A REGISTRY
FILE: 38

MEMORANDUM FOR: Chief, Regulations Control Division, DDA

FROM: William F. Donnelly   25X1
                  Chief, Information Management Staff, DO

SUBJECT: Proposed   Policy and Procedures for   25X1
                  Management of Information Handling Systems
                  (Job #9710)

        1.   The Directorate of Operations does not concur in the
publication of subject notice as written. If issued, it will
confuse management responsibilities for information systems and
unreasonably increase administrative overhead. CIA is in need of a
general-planning aide, facilitator, and coordinator in the IHSA. It
should not welcome the imposition of bureaucratic burden.

        2.   We cannot agree to a management arrangement which transfers
to others approval, control, or priority-setting authorities for our
information systems – except for those large or otherwise important
systems that the EXCOM itself chooses to review. Nor do we agree to
the preparation of lengthy, mandatory documents for the IHSA, apart
from the papers needed for EXCOM review.

        3.   The IHSA should certainly be cognizant of all systems
that are important from the standpoints of Agency planning and
coordination. In this way, the IHSA can be very helpful. But the
IHSA simply does not require all of the documentation sought. Nor
should elaborate procedures and standards be imposed on small
projects, thereby driving up their cost and the time needed for
their implementation.

        4.   We object in particular to:

        Paragraph 2, last sentence, which, in effect, would give
the IHSA authority over hardware and software – confusing ODP
and directorate responsibilities.

25X1

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Next 1 Page(s) In Document Denied

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IC-IIIF2-198
24 Feb 82

MEMORANDUM FOR: Chief, Regulations Control Division

FROM: _____   **25X1**
                  Director of Communications

SUBJECT: Proposed _____ Policy and Procedures for   **25X1**
                  Management of Information Handling Systems
                  (Job #9710)

REFERENCE: Memo from Chief, RCD, dated 12 February 1982,
                  same subject

    1.   The Office of Communications fully supports the Information
Handling Systems Architect's (IHSA) staff in its efforts to achieve
the goals of an effective Agency architecture and acquisition policy
for information handling systems. We believe the subject policy
represents a step towards the realization of these goals and offer
the following comments concerning its implementation.

    2.   We suggest that the Executive Committee (EXCOM) level of
review should be utilized on an exception basis only. On this basis,
EXCOM would review those Class I or Class II acquisitions which
included significant issues that could not be resolved by the IHSA
and the Program Office. Additionally, the EXCOM could review those
acquisitions which were nominated as specified in paragraph 3b(1)(c)
of the proposed policy. The acceptance of this suggestion would
eliminate the need for multiple EXCOM reviews of acquisitions that
were proceeding smoothly and enjoying both the approval of the
appropriate Directorate and the review of the IHSA.

    3.   As a second consideration, we note that the proposed policy
specifies that decision milestones will be reviewed and approved by
the appropriate management levels. Consistent with this process and
the suggestion noted above, we recommend that the IHSA review function
be closely coordinated with that of the Directorate for Class I and
Class II systems. Such coordination should minimize the resources
necessary to implement the policy and maintain an effective relation-
ship among the Directorate, IHSA and Program Office elements.
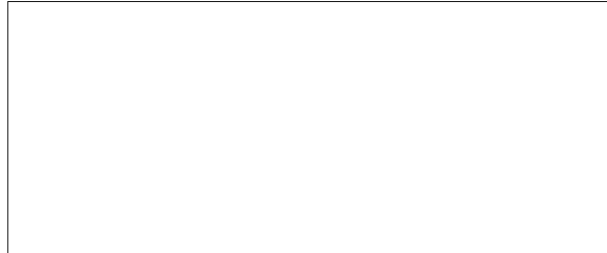
    4.   Finally, we recommend that some appropriate consideration be
included in the proposed policy to define the status of ongoing
programs. For example, this definition could specify the status of
ongoing programs in terms of the decision milestones as outlined in

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SUBJECT: Proposed [   ] Policy and Procedures for Management of   25X1
          Information Handling Systems (Job #9710)

the policy. This consideration should facilitate the implementation
of the policy and preclude any ambiguity as this acquisition review
process is begun.   25X1

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TRANSMITTAL SLIP | DATE 2/4/82

TO: EO / DDA

4 FEB 1982

ROOM NO. | BUILDING

REMARKS:

Attached is a copy
of C/IMS/OO memorandum
to DDA that we discussed
this morning. Also, a
copy of my covering memo
dated 28 Sept 81 referenced by
C/IMS.

FROM:

ROOM NO. | BUILDING | EXTENSION

FORM NO. 241
1 FEB 55

REPLACES FORM 36-8
WHICH MAY BE USED.

(47)

STAT

25X1

Page Denied

Next 2 Page(s) In Document Denied

28 September 1981

MEMORANDUM FOR: Director, National Foreign Assessment Center
                  Deputy Director for Operations
                  Deputy Director for Science and Technology
                  General Counsel
                  Inspector General
                  Comptroller

FROM: [   ]   STAT
                  Chief, Regulations Control Division

SUBJECT: Proposed [   ] Office of the Information Handling   STAT
                  Systems Architect, and Proposed [   ] Policy and   STAT
                  Procedures for Management for Information Handling
                  Systems, DRAFTS A (Job #9710 and 9711)

FOR YOUR INFORMATION:

     1.   Proposed [   ] were initiated by the   STAT
Information Handling Systems Architect. These proposals were
approved by the DDCI at the 24 July 1981 EXCOM meeting.

     2.   [   ] states the mission and functions for the Office   STAT
of the Information Handling Systems Architect.

     3.   [   ] sets forth Agency policy regarding management   STAT
responsibility for the acquisition of new or enhanced information
handling systems capabilities.

     4.   Since the DDCI has approved the subject proposals at the
EXCOM meeting, they are sent to you for your information only. We
plan to send [   ] forward for approval to publish on STAT
1 October 1981. Please direct any questions or comments to the
undersigned before that date.

                                                                             STAT

Attachments:
  A. Concurrence Sheets (OGC)
  B. Proposed [   ]   STAT
  C. Proposed [   ]

cc: AO/DCI   OEEO   OL
     SSA/DDA   OC   OMS
     DIS   ODP   OS
     OPP   OF   OTE
     OP   OIS/RMD

IMMEDIATE

(13)

Page Denied

Next 6 Page(s) In Document Denied

DDA REGISTRY

FILE: 38

ROUTING AND RECORD SHEET

SUBJECT: (Optional) Proposed [____] Policy and Procedures for Management of
Information Handling Systems (Job #9710)

	EXTENSION	NO. DDA 82-0319/1
FROM: [____] EO/DDA 7D-18 Hqs.		DATE 9 February 1982

STAT

STAT

TO: (Officer designation, room number, and building)	DATE RECEIVED	DATE FORWARDED	OFFICER'S INITIALS	COMMENTS (Number each comment to show from whom to whom. Draw a line across column after each comment.)
1. C/RCD 1105 Ames Bldg.				*Bill:* 1. Per our telecon of 9 Feb, would you please circulate the attached proposed HN for coordination throughout the Agency. Suggest you begin your request for coordination with the statement that this HN was initiated at the direction of the DDCI in conjunction with the EXCOM meeting held in July 1981. *Also, would you please expedite the coordination process with an IMMED. suspense — finally, please prepare for DDA and DCI signature.*
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Distribution:
0 - Adse w/att
1 - DDA Subj w/att
1 - EO Chrono w/o att
EO/DDA [____] ba(9Feb82)

STAT

STAT

STAT

FORM 610 USE PREVIOUS EDITIONS

OIS 82-077

ROUTING AND TRANSMITTAL SLIP

Date 2 FEB 1982

TO: (Name, office symbol, room number, Building, Agency/Post)	Initials	Date
1. DD/OIS	BJC	2/3
2. D/OIS		3 Feb
3. EO/DDA		3 FEB 1982
4. ADDA		
5. DDA		

Action	File	Note and Return
Approval	For Clearance	Per Conversation
As Requested	For Correction	Prepare Reply
Circulate	For Your Information	See Me
Comment	Investigate	Signature
Coordination	Justify	

REMARKS

IMMEDIATE

Form 3-65 160c   (13)

DO NOT use this form as a RECORD of approvals, concurrences, disposals, clearances, and similar actions

	Room No.—Bldg. 1105 Ames
Chief, Regulations Control Division	Phone No.

5041-102

OPTIONAL FORM 41 (Rev. 7-76)
Prescribed by GSA
FPMR (41 CFR) 101-11.206

STAT

STAT

ROUTING AND RECORD SHEET

SUBJECT: (Optional) Proposed [ ] Policy and Procedures for Management of Information Handling Systems (Job #9710)						STAT

FROM:
Harry E. Fitzwater
Deputy Director for Administration
7D13 Headquarters Building

	EXTENSION	NO.	DD/A Registry	STAT
		DATE	82-0319	

TO: (Officer designation, room number, and building)	DATE		OFFICER'S INITIALS	COMMENTS (Number each comment to show from whom to whom. Draw a line across column after each comment.)	
	RECEIVED	FORWARDED			
1. Executive Director				~~This notice was initiated by the Information Handling Systems Architect.~~	STAT
2. DDCI				[ ] sets forth Agency policy regarding management responsibility for the acquisition of new or enhanced information handling systems capabilities.	STAT
3.					
4.					STAT
5. DDA Registry					
6. RCD 1105 Ames Building					
7.					
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13.				[ ]	STAT
14.					
15.					

FORM 610 USE PREVIOUS EDITIONS
1-79

MANAGEMENT

STAT

POLICY AND PROCEDURES FOR MANAGEMENT
OF INFORMATION HANDLING SYSTEMS

No Field Counterpart to this HN

1. PURPOSE

This notice sets forth Agency policy regarding management responsibilities for the acquisition of new or enhanced information handling systems capabilities.

2. APPLICABILITY AND SCOPE

These provisions for information handling systems apply to automated or other clearly identifiable processes used for creation, movement, use, storage, retrieval, or dissemination of intelligence and management information. Included are ADP hardware and software systems, communications systems, terminals, word-processing, printers and copiers, image processing, and display systems.

3. POLICY

a. GENERAL

Information handling systems acquisitions will be reviewed and approved at decision milestones by appropriate management levels. Systems of extraordinary cost, risk, or interest will be reviewed by the Executive Committee (EXCOM), the Information Handling Systems Architect (IHSA), and the Program Management Component who will support the EXCOM review process. Information handling systems falling below the EXCOM review threshold, but nevertheless important in the context of the Agency Information Systems Architecture and Planning, may be reviewed by the IHSA at decision milestones.

b. SPECIFIC

For purposes of management and coordination, there are three classes of information handling systems, determined by investment cost thresholds. Class I and II systems will comply with the procedures, standards, and documentation requirements for major programs. Class III systems will comply with the procedures, standards, and documentation requirements for minor programs.

ADMINISTRATIVE - INTERNAL USE ONLY

(1) Class I information handling systems will be reviewed and approved at decision milestones by the EXCOM. Any information handling system, or any significant revision of an existing system, meeting any one of the following criteria will be designated a Class I information handling system:

    (a) Has anticipated acquisition costs in excess of $8 million during the span from program initiation to the time the system becomes operational.

    (b) Has estimated costs in excess of $2 million in any year.

    (c) Is designated as being of special interest or considered to have Agency-wide or Community importance. Nominations to the EXCOM can be made by any of the EXCOM principals or the IHSA.

(2) Class II information handling systems will be reviewed and approved at decision milestones by the Deputy Director responsible for the system. Any information handling system, or any significant revision of an existing system, meeting any of the following criteria will be designated a Class II information handling system:

    (a) Has anticipated acquisition costs in excess of $1 million during the span from program initiation to the time the system becomes operational.

    (b) Has estimated acquisition costs in excess of $250,000 in any year.

    (c) Is designated as being of special interest.

(3) Class III information handling systems will be reviewed and approved as the responsible Deputy Director may direct. In general, it is anticipated that the Deputy Director shall delegate that authority to the next lower level of management. Any information handling system or any significant revision of a system which is in cost or importance less than Class II is a Class III information handling system.

c. MILESTONE DECISIONS

Three milestone decisions are defined for acquisition of major information handling systems.

    °Milestone 0 Decision -- Approval of Mission Need Statement (MNS), approval of the budget and schedule, and authorization to proceed to the next program phase. The MNS will define

2

ADMINISTRATIVE - INTERNAL USE ONLY

MANAGEMENT

STAT

the need for the system, and will be accompanied by Prelim-
inary System Requirements, acquisition strategy, schedule
goals, and the total and annual investment of resources
estimated. The next program phase for a simple package (no
program development investment; e.g., a computer with standard
support software) is the actual procurement, or for a complex
system development, the next phase is the Concept Development
Phase.

°Milestone 1 Decision -- Approval of the System Design Concept
(SDC), System Requirements (SR), and Program Development
Plan (PDP); and authorization to proceed with the next
program phase. For large complex systems, alternate concepts
are to be explored and evaluated before settling on a chosen
concept; the reasons for a particular selection are to be
presented. Documentation at this stage will include baseline
SR, SDC, and a PDP. System requirements will be coordinated
and presented by the IHSA. Cost and schedule goals are
reassessed. Equipment acquisition plans are presented for
approval. Acquisition of production status and commercial
hardware will normally be executed pursuant to this approval
or direction. Approved programs then proceed to the Prelim-
inary Design Phase.

°Milestone 2 Decision -- Approval of the Preliminary Design
and Revised Program Development. All acquisition programs,
however phased, will have a single Preliminary Design Review
(PDR) covering the entire program. This review is coordinated
with the program's internal PDR so that issues arising as a
result of the PDR process can be evaluated. At this milestone
the program cost, functionality, and schedule objectives, as
defined and determined at the PDR, are reassessed. Approved
programs then proceed to full-scale development.

At each decision milestone, guidance and direction to the program
are documented.

At any point at which a major program deviation in cost or schedule
goals of more than 10 percent is estimated, the IHSA will be notified.

4. PROCEDURES

a. The IHSA shall receive all documentation relevant to systems
development for Class I and II information handling systems.
Included are such documents as:

(1) Functional requirements.

(2) Program acquisition plan.

3

(3) Feasibility, analyses, and tradeoff studies.

(4) System specification.

(5) Management plan.

(6) System functional specifications.

(7) Interface control specifications.

(8) System detailed design specifications.

(9) System test and validation plan.

(10) Periodic progress reports.

At least six months prior to Milestone 1 or 2 review of Class I and II information handling systems, the program sponsor will notify the IHSA. For Class I information handling systems, the IHSA shall coordinate and schedule an EXCOM review.

b.   The IHSA shall appoint a member of the staff to coordinate with the program office concerning preparation for the milestone review. The program office will brief the IHSA office with respect to the program status for Class I and II systems. Questions which the office of the IHSA has with the project will be addressed to the project management. The intent is to resolve all the questions that pertain to such matters as the project formulation, completeness of planning and design, interoperability, conformity with standards, and supportability prior to the milestone review.

Prior to the milestone review, the IHSA shall prepare brief point papers covering any points of concern or disagreement relative to the information system's development. Approximately one week prior to the EXCOM milestone review of Class I systems, the IHSA shall prebrief the EXCOM concerning unresolved issues and concerns. The project management will then brief the EXCOM on the system at the milestone review. The IHSA then shall prepare a decision coordinating paper documenting the EXCOM guidance and direction to the project.

c.   For Class II systems, if the IHSA feels that there are significant architectural concerns, he may join the milestone review.

5.   IHSA RESPONSIBILITIES

The Information Handling Systems review process complements the budgeting process. Information handling systems decisions must fit into the affordability framework of the budget, and further, must fit into the

4

STAT

MANAGEMENT

Agency architecture and planning framework for information handling systems. THE IHSA shall:

a. Formulate overall architecture tenets for information handling systems.

b. In conjunction with prospective users, conduct formal reviews of proposed information handling systems to:

   (1) Determine compliance with architecture tenets.

   (2) Validate functional requirements.

   (3) Validate system concept.

   (4) Ensure that relevant interfaces are considered.

   (5) Validate information security of proposed design.

c. Advise on relative priorities of information handling systems.

d. Focus the issues for EXCOM reviews.

e. Make an annual report to the EXCOM on the status of information handling systems in the Agency and advise EXCOM on information handling systems decisions.

f. Be designated the individual for the Agency to assure that architecture is either in compliance with Government-wide standards and procedures or that variations have senior management approval. Included is assuring Agency compliance with Federal Information Processing Standards and granting waivers to these in accordance with delegated authorities and specified procedures.

Harry E. Fitzwater
Deputy Director
for
Administration

DISTRIBUTION: AB

5

ADMINISTRATIVE - INTERNAL USE ONLY

ROUTING AND RECORD SHEET

SUBJECT: (Optional)				
Proposed Policy and Procedures for Management of Information Handling Systems				STAT

FROM: Harry E. Fitzwater Deputy Director for Administration	EXTENSION	NO. DDA 82-0319/ ER 82-4620	STAT
		DATE 25 March 1982	

TO: (Officer designation, room number, and building)	DATE RECEIVED	DATE FORWARDED	OFFICER'S INITIALS	COMMENTS (Number each comment to show from whom to whom. Draw a line across column after each comment.)
1. Executive Director	25 MAR 1982			cc: c/RCD 3/30/82
2.				
3. Deputy Director for Administration	26 MAR 1982	26 MAR 1982	JR	
4. Registry				
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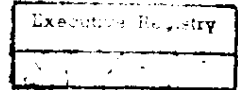
FORM 610 USE PREVIOUS EDITIONS
1-79

DDA 82-0319/3

15 March 1982

MEMORANDUM FOR: Executive Director

FROM: Harry E. Fitzwater
Deputy Director for Administration

SUBJECT: Proposed [   ] Policy and Procedures for Management
of Information Handling Systems   STAT

1. The attached proposed notice was approved for publication by the
DDCI at the 24 July 1981 Executive Committee meeting. It was not published
at that time because of the lack of personnel resources in the Information
Handling Systems Architect's (IHSA) staff to fully implement the notice.
This problem is still with us since his staff has not been enlarged to the
degree necessary to develop the Strategic Plan and also fully carry out the
charges contained in the attached. When the Plan is completed, personnel
resources will be shifted to assist in the implementation of the notice.
However, because of the controversial nature of the notice, I think we would
be wise to publish [   ] now even though it will be difficult to implement   STAT
at this time. Because of "turf," there will always be objections to the notice,
the Strategic Plan, and the concept of an Information Handling Systems Architect.
We need to resolve these issues and this is one we can set aside by publishing
the notice now.

2. When the notice was initially circulated for comment in September 1981,
the only concern raised was by C/IMS/DO who suggested that the notice might be
premature for issuance at this time. Recently when the notice was about to be
published the following comments were offered:

    a. The C/IMS/DO does not concur--believes the notice will
       confuse management responsibilities and unreasonably
       increase administrative overhead.

    b. Procedures and documentation requirements incur too
       much overhead, particularly for smaller systems (DO,
       DS&T, and ODP).

    c. Threshold limits for system classification should be
       raised (DO, DS&T, and ODP).

    d. Exclusions were requested for hardware systems, research
       systems, and embedded systems (DS&T and ODP).

3.   I believe there is justification for raising the threshold limits; that to a degree will also alleviate some of the other concerns. With your approval, I will have the notice published with the following limits:

Class I   (a)   Acquisition costs in excess of $10 million from program initiation to operation (changed from $8 million).

           (b)   Costs in excess of $3 million in any year (changed from $2 million).

Class II   (a)   Acquisition costs in excess of $1.5 million from program initiation to operation (changed from $1.0 million).

           (b)   Costs in excess of $500,000 in any year (changed from $250,000).

4.   In accordance with the decision made at the Executive Committee meeting on 24 July 1981, I request your approval to publish the notice now without further coordination and also ask your approval to raise the threshold limits as proposed in paragraph 3 above.

STAT

Harry E. Fitzwater

Attachment

APPROVED:

STAT

Executive Director

25 MAR 1982

Date

2

MANAGEMENT

POLICY AND PROCEDURES FOR MANAGEMENT
OF INFORMATION HANDLING SYSTEMS

No Field Counterpart to this HN

1. PURPOSE

This notice sets forth Agency policy regarding management responsibilities
for the acquisition of new or enhanced information handling systems
capabilities.

2. APPLICABILITY AND SCOPE

These provisions for information handling systems apply to automated or
other clearly identifiable processes used for creation, movement, use,
storage, retrieval, or dissemination of intelligence and management
information. Included are: computer hardware and software systems,
communications systems, office systems, and terminal systems. Appli-
cability of policy provisions is determined by class designation
(Class I, II, or III), which is based on system cost. Provisions are
most applicable to the larger Class I systems.

3. POLICY

a. GENERAL

Information handling systems acquisitions will be reviewed and
approved at decision milestones by appropriate management levels.
Systems of extraordinary cost, risk, or interest will be reviewed
by the Executive Committee (EXCOM), the Information Handling Systems
Architect (IHSA), and the Program Management Component who will
support the EXCOM review process. Information handling systems
falling below the EXCOM review threshold, but nevertheless important
in the context of the Agency Information Systems Architecture and
Planning, may be reviewed by the IHSA at decision milestones.

b. SPECIFIC

For purposes of management and coordination, there are three classes
of information handling systems, determined by investment cost
thresholds. Class I systems will comply with the procedures,
standards, and documentation requirements for major programs. Class
II and III systems will comply with the procedures, standards, and
documentation requirements for minor programs.

ADMINISTRATIVE - INTERNAL USE ONLY

(1) Class I information handling systems will be reviewed and approved at decision milestones by the EXCOM. Any information handling system, or any significant revision of an existing system, meeting any one of the following criteria will be designated a Class I information handling system:

(a) Has anticipated acquisition costs in excess of $10 million during the span from program initiation to the time the system becomes operational.

(b) Has estimated costs in excess of $3 million in any year.

(c) Is designated as being of special interest or considered to have Agency-wide or Community importance. Nominations to the EXCOM can be made by any of the EXCOM principals or the IHSA.

(2) Class II information handling systems will be reviewed and approved at decision milestones by the Deputy Director responsible for the system. Any information handling system, or any significant revision of an existing system, meeting any of the following criteria will be designated a Class II information handling system:

(a) Has anticipated acquisition costs in excess of $1.5 million during the span from program initiation to the time the system becomes operational.

(b) Has estimated acquisition costs in excess of $500,000 in any year.

(c) Is designated as being of special interest.

(3) Class III information handling systems will be reviewed and approved as the responsible Deputy Director may direct. In general, it is anticipated that the Deputy Director shall delegate that authority to the next lower level of management. Any information handling system or any significant revision of a system which is in cost or importance less than Class II is a Class III information handling system.

c.   MILESTONE DECISIONS

Three milestone decisions are defined for acquisition of major information handling systems.

°Milestone 0 Decision -- Approval of Mission Need Statement (MNS), approval of the budget and schedule, and authorization to proceed to the next program phase. The MNS will define

2

the need for the system, and will be accompanied by Prelim-
inary System Requirements, acquisition strategy, schedule
goals, and the total and annual investment of resources
estimated. The next program phase for a simple package (no
program development investment; e.g., a computer with standard
support software) is the actual procurement, or for a complex
system development, the next phase is the Concept Development
Phase.

°Milestone 1 Decision -- Approval of the System Design Concept
(SDC), System Requirements (SR), and Program Development
Plan (PDP); and authorization to proceed with the next
program phase. For large complex systems, alternate concepts
are to be explored and evaluated before settling on a chosen
concept; the reasons for a particular selection are to be
presented. Documentation at this stage will include baseline
SR, SDC, and a PDP. System requirements will be coordinated
and presented by the IHSA. Cost and schedule goals are
reassessed. Equipment acquisition plans are presented for
approval. Acquisition of production status and commercial
hardware will normally be executed pursuant to this approval
or direction. Approved programs then proceed to the Prelim-
inary Design Phase.

°Milestone 2 Decision -- Approval of the Preliminary Design
and Revised Program Development. All acquisition programs,
however phased, will have a single Preliminary Design Review
(PDR) covering the entire program. This review is coordinated
with the program's internal PDR so that issues arising as a
result of the PDR process can be evaluated. At this milestone
the program cost, functionality, and schedule objectives, as
defined and determined at the PDR, are reassessed. Approved
programs then proceed to full-scale development.

At each decision milestone, guidance and direction to the program
are documented.

At any point at which a major program deviation in cost or schedule
goals of more than 10 percent is estimated, the IHSA will be notified.

4.   PROCEDURES

a.   The IHSA shall receive all documentation relevant to systems
     development for Class I information handling systems.
     Included are such documents as:

     (1) Functional requirements.

     (2) Program acquisition plan.

3

ADMINISTRATIVE - INTERNAL USE ONLY

(3) Feasibility, analyses, and tradeoff studies.

(4) System specification.

(5) Management plan.

(6) System functional specifications.

(7) Interface control specifications.

(8) System detailed design specifications.

(9) System test and validation plan.

(10) Periodic progress reports.

At least six months prior to Milestone 1 or 2 review of Class I and II information handling systems, the program sponsor will notify the IHSA. For Class I information handling systems, the IHSA shall coordinate and schedule an EXCOM review.

b.   The IHSA shall appoint a member of the staff to coordinate with the program office concerning preparation for the milestone review. The program office will brief the IHSA office with respect to the program status for Class I systems. Questions which the office of the IHSA has with the project will be addressed to the project management. The intent is to resolve all the questions that pertain to such matters as the project formulation, completeness of planning and design, interoperability, conformity with standards, and supportability prior to the milestone review.

Prior to the milestone review, the IHSA shall prepare brief point papers covering any points of concern or disagreement relative to the information system's development. The project management will then brief the EXCOM on the system at the milestone review. The IHSA then shall prepare a decision coordinating paper documenting the EXCOM guidance and direction to the project.

c.   For Class II systems, if the IHSA feels that there are significant architectural concerns, he may join the milestone review.

5.   IHSA RESPONSIBILITIES

The Information Handling Systems review process complements the budgeting process. Information handling systems decisions must fit into the affordability framework of the budget, and further, must fit into the

4

ADMINISTRATIVE - INTERNAL USE ONLY

STAT

MANAGEMENT

Agency architecture and planning framework for information handling systems. THE IHSA shall:

a. Formulate overall architecture tenets for information handling systems.

b. In conjunction with prospective users, conduct formal reviews of proposed information handling systems to:

   (1) Determine compliance with architecture tenets.

   (2) Validate functional requirements.

   (3) Validate system concept.

   (4) Ensure that relevant interfaces are considered.

   (5) Validate information security of proposed design.

c. Advise on relative priorities of information handling systems.

d. Focus the issues for EXCOM reviews.

e. Make an annual report to the EXCOM on the status of information handling systems in the Agency and advise EXCOM on information handling systems decisions.

f. Be designated the individual for the Agency to assure that architecture is either in compliance with Government-wide standards and procedures or that variations have senior management approval. Included is assuring Agency compliance with Federal Information Processing Standards and granting waivers to these in accordance with delegated authorities and specified procedures.

                              Harry E. Fitzwater
                              Deputy Director
                                   for
                              Administration

DISTRIBUTION: AB

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